

07/25/00 15693 U.S. PTO

07-26-00

A

Please type a plus sign (+) inside this box → ☐

PTO/SB/05 (4/98)  
Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> (Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))	Attorney Docket No.	84417.4001
	First Inventor or Application Identifier	Charles G. Fisher
	Title	System for and Method of Variable Annuity Contract Administration
	Express Mail Label No.	EL529167005US

<b>APPLICATION ELEMENTS</b> See MPEP chapter 600 concerning utility patent application contents.	<b>ADDRESS TO:</b> Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
1. <input checked="" type="checkbox"/> * Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original and a duplicate for fee processing)	5. <input type="checkbox"/> Microfiche Computer Program (Appendix)
2. <input checked="" type="checkbox"/> Specification [Total Pages 27] (preferred arrangement set forth below) <ul style="list-style-type: none"><li>- Descriptive title of the Invention</li><li>- Cross References to Related Applications</li><li>- Statement Regarding Fed sponsored R &amp; D</li><li>- Reference to Microfiche Appendix</li><li>- Background of the Invention</li><li>- Brief Summary of the Invention</li><li>- Brief Description of the Drawings (if filed)</li><li>- Detailed Description</li><li>- Claim(s)</li><li>- Abstract of the Disclosure</li></ul>	6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) <ul style="list-style-type: none"><li>a. <input type="checkbox"/> Computer Readable Copy</li><li>b. <input type="checkbox"/> Paper Copy (identical to computer copy)</li><li>c. <input type="checkbox"/> Statement verifying identity of above copies</li></ul>
3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 12]	<b>ACCOMPANYING APPLICATION PARTS</b>
4. Oath or Declaration [Total Pages ] <ul style="list-style-type: none"><li>a. <input type="checkbox"/> Newly executed (original or copy)</li><li>b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. § 1.63(d)) (for continuation/divisional with Box 16 completed)<ul style="list-style-type: none"><li>i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).</li></ul></li></ul>	7. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))
<b>* NOTE FOR ITEMS 1 &amp; 13 IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).</b>	8. <input type="checkbox"/> 37 C.F.R. § 3.73(b) Statement <input type="checkbox"/> Power of Attorney (when there is an assignee)
	9. <input type="checkbox"/> English Translation Document (if applicable)
	10. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input checked="" type="checkbox"/> Copies of IDS Citations
	11. <input type="checkbox"/> Preliminary Amendment
	12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
	13. <input type="checkbox"/> * Small Entity Statement(s) <input type="checkbox"/> Statement filed in prior application (PTO/SB/09-12) Status still proper and desired
	14. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)
	15. <input checked="" type="checkbox"/> Other: Appendix to Specification (22 pages)

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: \_\_\_\_\_ / \_\_\_\_\_  
Prior application information: Examiner \_\_\_\_\_ Group / Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**17. CORRESPONDENCE ADDRESS**

☐ Customer Number or Bar Code Label (Insert Customer No. or Attach bar code label here) or ☒ Correspondence address below

Name	James E. Marina, Esq.				
	Winston & Strawn				
Address	200 Park Avenue				
City	New York	State	NY	Zip Code	10166
Country		Telephone	212-294-6700	Fax	212-294-4700

Name (Print/Type)	James E. Marina, Esq.	Registration No. (Attorney/Agent)	41,969
Signature	<i>James E. Marina</i>	Date	7/25/07

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

<h1 style="margin: 0;">FEE TRANSMITTAL</h1> <h2 style="margin: 0;">for FY 2000</h2> <p style="font-size: small; margin: 0;">Patent fees are subject to annual revision. Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12. See 37 C.F.R. §§ 1.27 and 1.28.</p>		<p><b>Complete if Known</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Application Number</td> <td style="width: 50%;"></td> </tr> <tr> <td>Filing Date</td> <td>July 25, 2000</td> </tr> <tr> <td>First Named Inventor</td> <td>Charles G. Fisher</td> </tr> <tr> <td>Examiner Name</td> <td></td> </tr> <tr> <td>Group / Art Unit</td> <td></td> </tr> <tr> <td>Attorney Docket No.</td> <td>84417.4001</td> </tr> </table>		Application Number		Filing Date	July 25, 2000	First Named Inventor	Charles G. Fisher	Examiner Name		Group / Art Unit		Attorney Docket No.	84417.4001
Application Number															
Filing Date	July 25, 2000														
First Named Inventor	Charles G. Fisher														
Examiner Name															
Group / Art Unit															
Attorney Docket No.	84417.4001														
TOTAL AMOUNT OF PAYMENT		(\$690.00)													

<p><b>METHOD OF PAYMENT (check one)</b></p> <p>1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:</p> <p>Deposit Account Number: <u>23-2428</u></p> <p>Deposit Account Name: <u>Winston &amp; Strawn</u></p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17</p> <p>2. <input checked="" type="checkbox"/> Payment Enclosed:  <input checked="" type="checkbox"/> Check    <input type="checkbox"/> Money Order    <input type="checkbox"/> Other</p> <p style="text-align: center;"><b>FEE CALCULATION</b></p> <p><b>1. BASIC FILING FEE</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity Code</th> <th>Large Entity Fee (\$)</th> <th>Small Entity Code</th> <th>Small Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>101</td> <td>690</td> <td>201</td> <td>345</td> <td>Utility filing fee</td> <td>690.00</td> </tr> <tr> <td>106</td> <td>310</td> <td>206</td> <td>155</td> <td>Design filing fee</td> <td></td> </tr> <tr> <td>107</td> <td>480</td> <td>207</td> <td>240</td> <td>Plant filing fee</td> <td></td> </tr> <tr> <td>108</td> <td>690</td> <td>208</td> <td>345</td> <td>Reissue filing fee</td> <td></td> </tr> <tr> <td>114</td> <td>150</td> <td>214</td> <td>75</td> <td>Provisional filing fee</td> <td></td> </tr> <tr> <td colspan="5" style="text-align: right;"><b>SUBTOTAL (1)</b></td> <td><b>(\$690.00)</b></td> </tr> </tbody> </table> <p><b>2. EXTRA CLAIM FEES</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Total Claims</th> <th>Extra Claims</th> <th>Fee from below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>20</td> <td>-20** = 0</td> <td>18</td> <td>0</td> </tr> <tr> <td>3</td> <td>-3** = 0</td> <td>78</td> <td>0</td> </tr> <tr> <td colspan="2">Multiple Dependent</td> <td></td> <td>0</td> </tr> </tbody> </table> <p>**or number previously paid, if greater; For Reissues, see below</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity Code</th> <th>Large Entity Fee (\$)</th> <th>Small Entity Code</th> <th>Small Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>103</td> <td>18</td> <td>203</td> <td>9</td> <td>Claims in excess of 20</td> <td></td> </tr> <tr> <td>102</td> <td>78</td> <td>202</td> <td>39</td> <td>Independent claims in excess of 3</td> <td></td> </tr> <tr> <td>104</td> <td>260</td> <td>204</td> <td>130</td> <td>Multiple dependent claim, if not paid</td> <td></td> </tr> <tr> <td>109</td> <td>78</td> <td>209</td> <td>39</td> <td>** Reissue independent claims over original patent</td> <td></td> </tr> <tr> <td>110</td> <td>18</td> <td>210</td> <td>9</td> <td>** Reissue claims in excess of 20 and over original patent</td> <td></td> </tr> <tr> <td colspan="5" style="text-align: right;"><b>SUBTOTAL (2)</b></td> <td><b>(\$0.00)</b></td> </tr> </tbody> </table>	Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid	101	690	201	345	Utility filing fee	690.00	106	310	206	155	Design filing fee		107	480	207	240	Plant filing fee		108	690	208	345	Reissue filing fee		114	150	214	75	Provisional filing fee		<b>SUBTOTAL (1)</b>					<b>(\$690.00)</b>	Total Claims	Extra Claims	Fee from below	Fee Paid	20	-20** = 0	18	0	3	-3** = 0	78	0	Multiple Dependent			0	Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid	103	18	203	9	Claims in excess of 20		102	78	202	39	Independent claims in excess of 3		104	260	204	130	Multiple dependent claim, if not paid		109	78	209	39	** Reissue independent claims over original patent		110	18	210	9	** Reissue claims in excess of 20 and over original patent		<b>SUBTOTAL (2)</b>					<b>(\$0.00)</b>	<p><b>3. ADDITIONAL FEES</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity Code</th> <th>Large Entity Fee (\$)</th> <th>Small Entity Code</th> <th>Small Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>105</td> <td>130</td> <td>205</td> <td>65</td> <td>Surcharge - late filing fee or oath</td> <td>0.00</td> </tr> <tr> <td>127</td> <td>50</td> <td>227</td> <td>25</td> <td>Surcharge - late provisional filing fee or cover sheet</td> <td>0.00</td> </tr> <tr> <td>139</td> <td>130</td> <td>139</td> <td>130</td> <td>Non-English specification</td> <td>0.00</td> </tr> <tr> <td>147</td> <td>2,520</td> <td>147</td> <td>2,520</td> <td>For filing a request for reexamination</td> <td>0.00</td> </tr> <tr> <td>112</td> <td>920*</td> <td>112</td> <td>920*</td> <td>Requesting publication of SIR prior to Examiner action</td> <td>0.00</td> </tr> <tr> <td>113</td> <td>1,840*</td> <td>113</td> <td>1,840*</td> <td>Requesting publication of SIR after Examiner action</td> <td>0.00</td> </tr> <tr> <td>115</td> <td>110</td> <td>215</td> <td>55</td> <td>Extension for reply within first month</td> <td>0.00</td> </tr> <tr> <td>116</td> <td>380</td> <td>216</td> <td>190</td> <td>Extension for reply within second month</td> <td>0.00</td> </tr> <tr> <td>117</td> <td>870</td> <td>217</td> <td>435</td> <td>Extension for reply within third month</td> <td>0.00</td> </tr> <tr> <td>118</td> <td>1,360</td> <td>218</td> <td>680</td> <td>Extension for reply within fourth month</td> <td>0.00</td> </tr> <tr> <td>128</td> <td>1,850</td> <td>228</td> <td>925</td> <td>Extension for reply within fifth month</td> <td>0.00</td> </tr> <tr> <td>119</td> <td>300</td> <td>219</td> <td>150</td> <td>Notice of Appeal</td> <td>0.00</td> </tr> <tr> <td>120</td> <td>300</td> <td>220</td> <td>150</td> <td>Filing a brief in support of an appeal</td> <td>0.00</td> </tr> <tr> <td>121</td> <td>260</td> <td>221</td> <td>130</td> <td>Request for oral hearing</td> <td>0.00</td> </tr> <tr> <td>138</td> <td>1,510</td> <td>138</td> <td>1,510</td> <td>Petition to institute a public use proceeding</td> <td>0.00</td> </tr> <tr> <td>140</td> <td>110</td> <td>240</td> <td>55</td> <td>Petition to revive - unavoidable</td> <td>0.00</td> </tr> <tr> <td>141</td> <td>1,210</td> <td>241</td> <td>605</td> <td>Petition to revive - unintentional</td> <td>0.00</td> </tr> <tr> <td>142</td> <td>1,210</td> <td>242</td> <td>605</td> <td>Utility issue fee (or reissue)</td> <td>0.00</td> </tr> <tr> <td>143</td> <td>430</td> <td>243</td> <td>215</td> <td>Design issue fee</td> <td>0.00</td> </tr> <tr> <td>144</td> <td>580</td> <td>244</td> <td>290</td> <td>Plant issue fee</td> <td>0.00</td> </tr> <tr> <td>122</td> <td>130</td> <td>122</td> <td>130</td> <td>Petitions to the Commissioner</td> <td>0.00</td> </tr> <tr> <td>123</td> <td>50</td> <td>123</td> <td>50</td> <td>Petitions related to provisional applications</td> <td>0.00</td> </tr> <tr> <td>126</td> <td>240</td> <td>126</td> <td>240</td> <td>Submission of Information Disclosure Stmt</td> <td>0.00</td> </tr> <tr> <td>581</td> <td>40</td> <td>581</td> <td>40</td> <td>Recording each patent assignment per property (times number of properties)</td> <td>0.00</td> </tr> <tr> <td>146</td> <td>690</td> <td>246</td> <td>345</td> <td>Filing a submission after final rejection (37 CFR § 1.129(a))</td> <td>0.00</td> </tr> <tr> <td>149</td> <td>690</td> <td>249</td> <td>345</td> <td>For each additional invention to be examined (37 CFR § 1.129(b))</td> <td>0.00</td> </tr> <tr> <td colspan="5">Other fee (specify) _____</td> <td>0.00</td> </tr> <tr> <td colspan="5">Other fee (specify) _____</td> <td>0.00</td> </tr> <tr> <td colspan="5" style="text-align: right;"><b>SUBTOTAL (3)</b></td> <td><b>(\$0.00)</b></td> </tr> </tbody> </table> <p>*Reduced by Basic Filing Fee Paid</p>	Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid	105	130	205	65	Surcharge - late filing fee or oath	0.00	127	50	227	25	Surcharge - late provisional filing fee or cover sheet	0.00	139	130	139	130	Non-English specification	0.00	147	2,520	147	2,520	For filing a request for reexamination	0.00	112	920*	112	920*	Requesting publication of SIR prior to Examiner action	0.00	113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	0.00	115	110	215	55	Extension for reply within first month	0.00	116	380	216	190	Extension for reply within second month	0.00	117	870	217	435	Extension for reply within third month	0.00	118	1,360	218	680	Extension for reply within fourth month	0.00	128	1,850	228	925	Extension for reply within fifth month	0.00	119	300	219	150	Notice of Appeal	0.00	120	300	220	150	Filing a brief in support of an appeal	0.00	121	260	221	130	Request for oral hearing	0.00	138	1,510	138	1,510	Petition to institute a public use proceeding	0.00	140	110	240	55	Petition to revive - unavoidable	0.00	141	1,210	241	605	Petition to revive - unintentional	0.00	142	1,210	242	605	Utility issue fee (or reissue)	0.00	143	430	243	215	Design issue fee	0.00	144	580	244	290	Plant issue fee	0.00	122	130	122	130	Petitions to the Commissioner	0.00	123	50	123	50	Petitions related to provisional applications	0.00	126	240	126	240	Submission of Information Disclosure Stmt	0.00	581	40	581	40	Recording each patent assignment per property (times number of properties)	0.00	146	690	246	345	Filing a submission after final rejection (37 CFR § 1.129(a))	0.00	149	690	249	345	For each additional invention to be examined (37 CFR § 1.129(b))	0.00	Other fee (specify) _____					0.00	Other fee (specify) _____					0.00	<b>SUBTOTAL (3)</b>					<b>(\$0.00)</b>
Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																																																																																																																				
101	690	201	345	Utility filing fee	690.00																																																																																																																																																																																																																																																																																				
106	310	206	155	Design filing fee																																																																																																																																																																																																																																																																																					
107	480	207	240	Plant filing fee																																																																																																																																																																																																																																																																																					
108	690	208	345	Reissue filing fee																																																																																																																																																																																																																																																																																					
114	150	214	75	Provisional filing fee																																																																																																																																																																																																																																																																																					
<b>SUBTOTAL (1)</b>					<b>(\$690.00)</b>																																																																																																																																																																																																																																																																																				
Total Claims	Extra Claims	Fee from below	Fee Paid																																																																																																																																																																																																																																																																																						
20	-20** = 0	18	0																																																																																																																																																																																																																																																																																						
3	-3** = 0	78	0																																																																																																																																																																																																																																																																																						
Multiple Dependent			0																																																																																																																																																																																																																																																																																						
Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																																																																																																																				
103	18	203	9	Claims in excess of 20																																																																																																																																																																																																																																																																																					
102	78	202	39	Independent claims in excess of 3																																																																																																																																																																																																																																																																																					
104	260	204	130	Multiple dependent claim, if not paid																																																																																																																																																																																																																																																																																					
109	78	209	39	** Reissue independent claims over original patent																																																																																																																																																																																																																																																																																					
110	18	210	9	** Reissue claims in excess of 20 and over original patent																																																																																																																																																																																																																																																																																					
<b>SUBTOTAL (2)</b>					<b>(\$0.00)</b>																																																																																																																																																																																																																																																																																				
Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																																																																																																																				
105	130	205	65	Surcharge - late filing fee or oath	0.00																																																																																																																																																																																																																																																																																				
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	0.00																																																																																																																																																																																																																																																																																				
139	130	139	130	Non-English specification	0.00																																																																																																																																																																																																																																																																																				
147	2,520	147	2,520	For filing a request for reexamination	0.00																																																																																																																																																																																																																																																																																				
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	0.00																																																																																																																																																																																																																																																																																				
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	0.00																																																																																																																																																																																																																																																																																				
115	110	215	55	Extension for reply within first month	0.00																																																																																																																																																																																																																																																																																				
116	380	216	190	Extension for reply within second month	0.00																																																																																																																																																																																																																																																																																				
117	870	217	435	Extension for reply within third month	0.00																																																																																																																																																																																																																																																																																				
118	1,360	218	680	Extension for reply within fourth month	0.00																																																																																																																																																																																																																																																																																				
128	1,850	228	925	Extension for reply within fifth month	0.00																																																																																																																																																																																																																																																																																				
119	300	219	150	Notice of Appeal	0.00																																																																																																																																																																																																																																																																																				
120	300	220	150	Filing a brief in support of an appeal	0.00																																																																																																																																																																																																																																																																																				
121	260	221	130	Request for oral hearing	0.00																																																																																																																																																																																																																																																																																				
138	1,510	138	1,510	Petition to institute a public use proceeding	0.00																																																																																																																																																																																																																																																																																				
140	110	240	55	Petition to revive - unavoidable	0.00																																																																																																																																																																																																																																																																																				
141	1,210	241	605	Petition to revive - unintentional	0.00																																																																																																																																																																																																																																																																																				
142	1,210	242	605	Utility issue fee (or reissue)	0.00																																																																																																																																																																																																																																																																																				
143	430	243	215	Design issue fee	0.00																																																																																																																																																																																																																																																																																				
144	580	244	290	Plant issue fee	0.00																																																																																																																																																																																																																																																																																				
122	130	122	130	Petitions to the Commissioner	0.00																																																																																																																																																																																																																																																																																				
123	50	123	50	Petitions related to provisional applications	0.00																																																																																																																																																																																																																																																																																				
126	240	126	240	Submission of Information Disclosure Stmt	0.00																																																																																																																																																																																																																																																																																				
581	40	581	40	Recording each patent assignment per property (times number of properties)	0.00																																																																																																																																																																																																																																																																																				
146	690	246	345	Filing a submission after final rejection (37 CFR § 1.129(a))	0.00																																																																																																																																																																																																																																																																																				
149	690	249	345	For each additional invention to be examined (37 CFR § 1.129(b))	0.00																																																																																																																																																																																																																																																																																				
Other fee (specify) _____					0.00																																																																																																																																																																																																																																																																																				
Other fee (specify) _____					0.00																																																																																																																																																																																																																																																																																				
<b>SUBTOTAL (3)</b>					<b>(\$0.00)</b>																																																																																																																																																																																																																																																																																				

<b>SUBMITTED BY</b>		<b>Complete (if applicable)</b>	
Name (Print/Type)	James E. Marina. Esq.	Registration No. (Attorney/Agent)	41,969
Signature	<i>James E. Marina</i>	Telephone	212-294-6700
		Date	7/25/00

**WARNING:**

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.